

INDIANA ARCHIVES AND RECORDS ADMINISTRATION

COUNTY/LOCAL RECORDS CUSTODIAN HANDBOOK



Records Custodian • (re-kərdz kə-'stō-dē-ən) • *Noun:*

Any employee of an Indiana county or local governmental entity who has been assigned the responsibility of managing the public records created or received by their office.

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The County/Local Records Custodian Handbook is designed to help county and local government offices in Indiana properly and legally care for the public records in their custody.

Note: While the Indiana Judiciary also produces public records, court records are managed under the Indiana Rules of Court, Administrative Rule 7, and aren't addressed in this publication. For questions about managing court records, consult with the Indiana Office of Court Services at 317-232-1313.

This Handbook replaces these previous IARA publications:

- *Guide to Preservation and Destruction of Local Records*
- *Instructions for Holding a County Commission Meeting*



Please discard any copies of those publications and use this Handbook instead.

About the Indiana Archives and Records Administration (IARA)

Agency Name Change

The former Indiana Commission on Public Records was officially renamed to the Indiana Archives and Records Administration (IARA) by Indiana Senate Enrolled Act 528, effective July 1, 2015. All references to "Commission on Public Records" or "ICPR" in existing records retention schedules or agency policies now apply to the Indiana Archives and Records Administration / IARA.

Divisions and Services

Records Management Division:

- Develops records retention schedules and maintains the history of previous versions
- Provides online, public access to all active retention schedules
- Works with government offices and employees to apply those retention schedules to their actual records

State Records Center:

- Works primarily with state government agencies, providing temporary storage and document circulation for inactive records
- Offers confidential pickup and destruction services for eligible state agency records

Indiana Archives:

- Permanently collects legally and historically valuable Indiana government records
- Provides public access to those records that are not confidential by law
- Maintains secure storage of microfilm negatives created by the State Imaging and Microfilm Laboratory

Electronic Records Program:

- Advises government agencies on the management of electronic record formats and systems
- Works with Records Management, Indiana Archives and government offices to develop policies/procedures for e-records
- Transfers and accessions archival electronic records into the Indiana Archives collections

Conservation Laboratory:

- Restores and repairs legally and historically valuable records
- Serves as a resource for disaster preparedness and emergency planning
- Advises government agencies on proper records preservation methods

State Imaging and Microfilm Laboratory:

- Performs preservation microfilming of critical records, with experience in handling delicate and or damaged records
- Converts critical microfilm and paper-based records to digital access formats as technology/work environments change
- Preserves digital records by writing files to microfilm as a secure back-up file to content management systems

Forms Management Division:

- Assigns a master number (State Form Number) to all official state government agency forms, both paper and electronic
- Maintains a master file folder and database record for each State Form
- Designs forms for agencies and analyzes/approves the design of agency-created forms

PUBLICATIONS

IARA has created a variety of publications to assist county and local government office in proper records and information management practices. These publications are available in electronic format through IARA's website.

Some of our titles are listed below, but new information is being added all the time, so be sure to check out the Services For Government section in the left-side navigation bar at www.IN.gov/iara.

Printable Documents - (*Services for Government/IARA Publications*)

- County/Local Records Custodian's Handbook
- Legal Framework of Records and Information Management
- Guidelines for Indiana State Records, Nonrecords, and Personal Papers
- Imaging and Public Records: Basic Questions and Answers for Government Officials

Online Training Modules - (*Services for Government/Workshops and Training*)

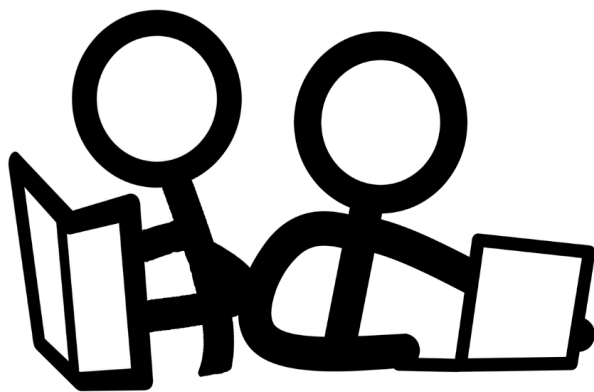
- Records Management for Indiana County and Local Government Offices

IARA Forms - (*Services for Government/IARA forms*)

All State Forms required for IARA services to county/local government are available via the IARA Forms page, with the exception of forms generated by IARA and sent to the agency for signature.

The forms used most often for County and Local Records Management are:

- **SF 44905: Notice of Destruction** of County/Local Government Records in Accordance With an Approved Retention Schedule
- **SF 30505: Request for Exception to County/Local Retention Schedule or Permission to Dispose of Non-Scheduled County/Local Public Records (PR-1)**
- **SF 48883: State Archives Record Transmittal and Receipt**
- **SF 52408: Microform Transmittal and Receipt**
- **SF 56676: State Imaging and Microfilm Lab - Request for Services**



1. INTRODUCTION TO THE RECORDS CUSTODIAN'S HANDBOOK

1.1 Definition and Purpose

Public records are at the heart of public *service*. The Indiana Code, in 5–14–3–1, makes this point clear when it states:

A fundamental philosophy of the American constitutional form of representative government is that government is the servant of the people and not their master. Accordingly, it is the public policy of the state that all persons are entitled to full and complete information regarding the affairs of government and the official acts of those who represent them as public officials and employees.

Public records, in this context, doesn't mean that all of the records are open to the public to *view*. It refers to records created in the course of government business, which *belong* to the public.

There are three reasons every office in Indiana government needs an effective records management program: to perform its legal mandates and responsibilities, to minimize the costs of record storage, and to assure public access to the documentary evidence of government. Together, these services ensure the functioning of an efficient, democratic form of government.

1.2 The Three Partners in County/Local Records Management

For county and local government offices, everything depends on three entities working together to classify, care for, and eventually dispose of your records. The first two were created and assigned by the Indiana Code (IC 5–15–5.1 and IC 5-15-6).

1.2a The Indiana Archives and Records Administration (IARA)

- Assists county/local agencies in developing and maintaining their Records Management programs
- Develops record retention schedules to cover the maintenance and disposition of county/local government records
- Preserves county/local government records of historical value in the Indiana Archives
- Assists county/local offices with Records Management questions and approval of certain records disposition requests

1.2b County Commissions of Public Records

- Exist in each of Indiana's 92 counties.
- Meet at minimum once a year, and ideally once a month.
- Assign the position of Secretary to either the County Clerk or County Recorder, depending on preference.
- Note records dispositions covered by a retention schedule in the Commission's official minutes:
 - County and local offices submit documentation of already-completed disposition to the Secretary of the Commission.
- Join IARA in approving disposition of records *not* covered by a records retention schedule:
 - County and local offices submit requests for special disposition to the Commission.
 - If approved by the Commission, the Secretary of the Commission then submits them to IARA for final approval.

1.2c County and Local Records Custodians

Finally, there's the most important member of this partnership: **you**.

A Records Custodian is any employee of a county or local government office, public library, public or charter school/system, law enforcement agency, or other governmental entity who has been assigned the responsibility of managing the public records created or received by their office.

IARA can develop rules for records management and help you make decisions on how to apply them. Your County Commission can approve and document what happens to those records.

In the end, though, it's you, the Records Custodian, who cares for the records, follows the retention requirements, and makes records management happen.

This Handbook will provide you with simple, clear tools and guidelines to get that job done.

2. RECORDS AND NON-RECORDS

Let's start at the very beginning, with a question you may not have asked yourself because it seems so simple: what *is* a public record?

2.1 Public Records

A **public record** is any **piece of recorded information** that is

- created or received by your office
and
- documents the activities of your office

no matter what

- medium it's recorded on
or
- format it's recorded in.

2.1a Medium

The **medium** is the **type of container** used to store the information, such as

- Paper
- Microfilm
- CD
- Computer hard drive
- Audiocassette

2.1 b Format

The **format** is the **way that information on that medium is *arranged***, such as

- Text
- Image
- Microsoft Word
- Database file
- Audio recording

One format may be better than another for easy access; one medium may be better than another at preserving records for a long time. Those things do *matter* to recordkeeping – they just don't affect the rules about how long to keep records, who has the right to see them, or what happens to them when they leave your office.

The order of importance is the other way around: how long you are required to keep a record should be one of the first things you consider when you're choosing the best media and formats to balance your access and preservation requirements.



2.2 Non-Records

Just as it's important to know what public records are, so you can take care of them properly and follow the laws and rules that govern them, it's also important to know what's *not* a public record, and therefore not subject to those particular laws and rules.

A Non-Record is any piece of recorded information you might have in your government office that:

- does NOT document the activities of your office, such as:
 - reference and training materials used by your office but not created by it
 - publications that you did not create, even if they're from another government office
 - advertising material you receive, whether in paper or electronic (e-mail) form
 - personal papers or correspondence of someone in your office that don't relate to their government job

or

- is a duplicate of information that *is* a public record, such as:
 - a copy of your information in the same format as the original
 - for instance, photocopies or duplicate electronic files
 - a copy of the same information in another format
 - for instance, microfilm, scanned records, or a paper printout of an electronic record
 - information *about* your office that is published by another government office
 - for instance, an Audit Report created by the State Board of Accounts – this *is* a public record, but it's the responsibility of the SBOA to retain it. Yours is just a copy for reference.

2.3 The Copy of Record

When you're dealing with duplicates, whether they're in the same format as the original, or a different format, you'll need to determine which version is the **Copy of Record**, with all other versions being a duplicate.

As long as the information is the same, you get to decide which version that is. The Copy of Record does not need to be the original. It doesn't even need to remain the same copy over the lifetime of the record: if you duplicate a paper record in microfilm format, you might decide that the microfilm is now the Copy of Record and destroy the paper originals.

The Copy of Record is whichever version of the information your office currently uses to fulfill the legal retention requirements for that type of information.

As long as

- the information is an authentic duplicate
- the format and medium meet IARA standards (60 IAC 2 for microfilm, and OCPR Policy 20-02 for electronic records)

then *any* version of the information can be the Copy of Record.

2.4 Destroying Duplicates and Other Non-Records

The following items may be destroyed at any time, once they are no longer needed/useful for your office:

- Copies of a public record that are NOT the Copy of Record
- Non-record materials

You do not need prior permission from IARA or your County Commission of Public Records, nor do you need to notify anyone afterward.

You don't need to fill out any forms or follow the other destruction procedures for public records described later in the Handbook, because these things are **not considered records**.

Duplicates of confidential materials are still confidential, though, and must be destroyed in a confidential manner.



3. RECORDS RETENTION SCHEDULES

Once you know what a public record *is*, you'll need to figure out what to do with yours. IARA creates **records retention schedules** to make that as easy as possible for you, listing and describing

- the categories of records commonly created by your office
- how long to keep the records in each category
- what happens to those records both during and after that time period.

Not all records are covered on your retention schedules: new record types are created all the time, and older types can go unnoticed until it's time to clean out that storage room or courthouse basement. **If you come across a record that doesn't seem to be covered by a retention schedule, contact IARA's County/Local Records Section** at cty@iara.in.gov/317-232-3380, so that they can help you identify it, and if necessary, update a relevant retention schedule to include it.

The key to using retention schedules effectively is an understanding of their contents, format, language, and how to apply all of that to your records. By the end of this section, you'll have that key in your hand.

3.1 Record Series

Often abbreviated to just "RS" for brevity, record series are the categories that make up a retention schedule.

Each record series describes a broad group of records that have the same physical form, are arranged under a single filing system, are related to a particular subject, document a particular transaction, serve the same function, or are produced by the same activity—and so form an identifiable type.

A retention schedule is a collection of record series in much the same way that a dictionary is a collection of definitions, except that a record series both defines a type of record, *and* tells you what needs to be done with it.

Retention Schedules and Record Series

Retention Schedule

Record Series 1
Record Series 2
Record Series 3
Record Series 4

Each Record Series contains three major pieces of information:

3.1a Record Series Number

The record series number is a unique identifier assigned when the record series is first added to a retention schedule and approved by the Oversight Committee on Public Records. It's also the key piece of identification used when filling out the State Forms required for destroying or transferring records to the Indiana Archives; they can't be approved without it.

It begins with an alphabetic prefix showing which records retention schedule it belongs to:

- **Office-Specific Record Series Numbers:** These indicate a record series on a retention schedule approved for the use of a particular office-type, such as "all County Clerks" or "all Public Libraries." They have record series numbers that begin with an abbreviation for that office-type, i.e. "CL" for Clerks, or "LIB" for Libraries.
- **General Retention Record Series Numbers:** Record series so common that most county/local offices produce them are collected in a single publication called the County/Local General Retention Schedule. These record series numbers will all begin with the abbreviation, "GEN."

From there, both types of record series numbers are the same: there's a space, then a set of digits indicating the year that the Records Series was added to that retention schedule, then a dash, then a set of digits indicating the order in which the record series was added that year.

So, for example, in Record Series CL 10-17, the CL stands for the County Clerks retention schedule, the 10 indicates that it was added to that schedule in 2010, and the 17 shows that it was the seventeenth record series added that year.

3.1b Record Series Title and Description

The Record Series Title is a concise, descriptive name for the record series. Unlike the RS Number, it is not always unique; several different offices might have a record series called "Case Files" that contains a completely different type of information from another office's Case Files. Record series titles should, however, be unique within their own retention schedule.

The Description is a brief synopsis of the type of information covered by the record series, usually located below the title. (If the title is very, very self-explanatory, there may be no additional description.) It usually mentions:

- government programs the records are part of
- who sends the records to the office
- why they're created or treated in a certain way
- the different document or data types that may show up in the file.

More specifically, in the Title/Description section, you're likely to find...

1. A simple narrative explanation. The length of this may vary, but the goal is to make it as brief and easy to understand as possible. A schedule may also be used by

- new staff (or just new to your office)
- employees in other local government offices, trying to weed out the series that *don't* cover their documents
- regular citizens who want to know how you're preserving their records.

So when writing record series, IARA tries to avoid both wordy legal definitions and internal jargon that's only familiar to those who work closely with the records or program.

2. Listings of commonly found State or Federal forms so that people searching for those numbers or titles can find the record series that explains what to do with them.

However, just because one form is referenced specifically and another may not be, don't assume the second one isn't covered by the record series. This is true of *anything* you don't find listed: a form, report or document doesn't need to be mentioned explicitly, as long as the overall description covers the subject matter.

3. If relevant, the format or media in which the records are most commonly created or stored. Confidentiality, retention lengths, and final dispositions are the same regardless of format, but where you store records and how to make sure they last for the full retention period may differ.
4. Any state, federal, or local legal citations (or other government publications) that affect
 - public access to the records: so that both citizens and government employees will be aware that some or all parts of the record might be confidential, and be able to seek out the relevant laws to learn the details.
 - the retention instructions: so that those curious about the reasons behind the listed retention can read the laws and find out. (If there is no retention-related citation, then the retention period was assigned based on office or programmatic needs.)



3.1c Retention Period and Disposition Instructions

This section is the nitty gritty of a record series, and what most readers of retention schedules go there to find: the details on what the government office must *do* with the covered records.

Again, the instructions are written as briefly and straightforwardly as possible (though specific legal or business phrases are required in certain situations), so that

- all Records Custodians can understand what they need to do to fulfill their legal requirements toward the records.
- no records are accidentally disposed of improperly, or too soon.

These instructions may include...

1. Format conversion instructions:

- Whether – and when – to microfilm original paper records. Microfilming records is almost always optional, and thus won't be mentioned in most retention and disposition instructions, but you will see it for records that have been designated as Critical Records. (See Section 3.1e, Terminology.)
- What to do with both sets of records after the conversion.

1. Information on how long the records need to remain

- in various locations
and/or
- in your office's ownership before their final disposition.

2. What finally happens to your records after their retention period is over:

- **destruction**
- **transfer of records to the Indiana Archives**

Records with potential historical significance will be scheduled for Indiana Archives transfer, where the Archivists may preserve them exactly as received, or may weed, sample, and evaluate the records to retain only those items with permanent value in the collections.

3.1d What a Record Series Looks Like When It's All Put Together

Using the same record series from our earlier example, CL 10-17, here's how it looks when it's all laid out:

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	CL 10-17	BAIL AGENT LICENSE/POWER OF ATTORNEY Retention based on IC 27-10-3.	DESTROY three (3) years after expiration of license.

Record Series Number | Record Series Title and Description* | Retention Period and Disposition Instructions

*This is one of those very self-explanatory titles mentioned earlier, so the description contains only a note about the law on which the retention is based.

The retention schedule (when printed or displayed in document format) consists mainly of a table containing a bunch (usually) of record series laid out like this.

3.1e Item Numbers and Record Series Order

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	CL 10-17	BAIL AGENT LICENSE/POWER OF ATTORNEY Retention based on IC 27-10-3.	DESTROY three (3) years after expiration of license.

Item Number

The item number wasn't listed earlier under the three main parts of a record series, and there's a good reason for that: item numbers are *not* part of the record series. They're just a changeable, automatically-assigned line number to help you keep track of where you are on the page when you're reading.

Each retention schedule consists of a specific collection of record series, regardless of the order in which they're listed on that schedule.

- **Retention schedules found on IARA's website under *Services For Government / County/Local Retention Schedules*:** group record series together by similar or related functions. IARA prefers that you use this version, but only because it will probably be the most helpful.
- **Retention schedules printed from the retention schedule search in IARA's ResearchIndiana database:** auto-sort the record series in record series number order. These can be useful if you know the number and just need to look up the instructions for it, but not so great if you're trying to figure out what sort of record you've even got.
- **Retention schedules specially printed up for you by IARA staff:** may sort the record series by title, manually group them by similar retention instructions, or any other useful order that you've requested and we're able to create.

Any of these versions of the same retention schedule are fully legal to use, and every one of them would have the item number "2" assigned to a completely different record series.

So in short:

- Don't worry about the item numbers on retention schedules; they don't have any individual meaning, and you'll never need to supply that information on a records disposition or transfer form.
- Don't assume there's something wrong with your copy of a retention schedule if the record series are in a different order than you're used to. The one that you think is missing is most likely just on a different page!

3.1f Record Series Terminology

While IARA records analysts try to write as plainly as possible, some of the language used on retention schedules may still be a bit obscure. Other words are familiar enough, but may be put together in a way that doesn't immediately make sense if you're not used to records management. Here's a brief guide to help clear things up!

AUDIT

Unless another type of audit is specifically mentioned, this refers to the audits performed by the Indiana State Board of Accounts. You'll find these references in the instructions for when to transfer or destroy certain records, and they'll usually be phrased like this: "...after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges."

Here's how to verify that you've fulfilled this requirement:

1. Visit the SBOA Audit Report Database (<https://secure.in.gov/apps/sboa/audit-reports/>)
2. In the "County" text box, choose the correct county.
3. In the "UNIT TYPE" drop-down box, choose the correct unit type for your office.
4. If you still see other entities besides yours listed after that, type a unique word from your office's name in the SEARCH box.
5. Leave everything else blank.
6. Click the SEARCH button.
7. In the results, click the arrow next to "End Date" to sort by that column.
8. Click the same arrow again to bring the most recent to the top.
9. Find the most recent End Date.
10. If your records date is ON OR BEFORE that End Date, you're good to go!

You don't have to prove that a specific record or file was examined by the auditors; you just have to prove that it *could* have been, by verifying that an Audit Report has been published since the time when the last information was added to the record.

CONFIDENTIAL

Depending on the age of the record series you're working with, you may find this stated in a number of different ways.

Older phrasings:

- Confidential
- Partially confidential
- Confidential at the discretion of a public agency

Modern phrasings:

- Access [to these records] may be affected by...
- Disclosure [of these records] may be affected by...

All of these will be followed by a state, federal, or local legal citation that (if you look up the cited code) will explain why the record or some parts of it are confidential, and if applicable, how long the information must remain that way. (Some records are confidential forever; some have a time-limit.)

For an employee reading the retention schedule, these all mean basically the same thing: these records, or some part of these records, contain information that not everyone is allowed to access. The details on who is allowed to access the records, which parts might be open to everyone, any time limit on the confidentiality, and the reasons for it, can be found by reading the full text of the listed legal citation in its source publication. (Indiana Code, US Code, etc. Your office doesn't need a copy of these codes; they're all available online if you need to look one up.)

CRITICAL RECORD

On a select number of record series, you'll find the phrase "THIS IS A CRITICAL RECORD" in the description. This refers to records that are considered critical to the continuity of Indiana government in an emergency situation, as described in Indiana Code 5-15-5.1-12.

Critical records are determined by IARA (with input from county/local stakeholders) during a retention schedule's development. **For Critical Records, microfilming is mandatory** (unless other arrangements are made under IARA guidance) and will be listed on the records retention schedule as such, with copies of the microfilm distributed and retained as indicated in the relevant retention instructions.

DISPOSITION

What happens to the records, including any changes of format. Disposition isn't synonymous with "destruction." Rather, destruction is one type of disposition. Other types include maintaining a record permanently in the office, transferring a permanent record to the Indiana Archives, or (with special permission from your County Commission on Public Records) transferring a *non*-permanent record to the Archives or a local historical entity with an interest in the subject. (All of these types of Disposition will be addressed in Section 4.)

EVALUATION, SAMPLING or WEEDING

Most record series scheduled for transfer to the Indiana Archives will contain language like "for EVALUATION, SAMPLING and WEEDING pursuant to archival principles."

This just means that the archivists are authorized to review the contents of the records transferred to them, and keep for the permanent collections only those parts that they determine to have lasting value. Those "archival principles" consist of their own experience and education, best practices in the archival profession, and any processing guides that have already been created for that record type by Indiana Archives staff.

MICROFILM

Copy original paper (and sometimes data) records to microfilm format. Some record series instructions may refer to *microfiche*; this is still microfilm. Fiche is just a specific way of printing and cutting the film.

Related phrases:

- **"According to 60 IAC 2."** This is the Indiana Administrative Code that lists the minimum standards for government entity microfilm.
- **"According to Indiana Rules of Court, Administrative Rule 7."** This is the Rule that lists the minimum standards for court records. It doesn't usually apply to government agencies, but some agencies may also care for court records, or have to transfer some of their records to a court if they are involved in litigation or other court business. The rules for court microfilm are a little more detailed, but are essentially the same as those found in 60 IAC 2, so if your microfilm meets one standard, it probably meets the other.
- **"After verification of microfilm for completeness and legibility."** This is the quality control that your office must perform once you receive your completed microfilm rolls, before you can destroy any paper originals. You confirm that the film has been verified by signing a State Form 42775, Certificate of Compliance/Verification (See Appendix C) sent to you by the State Imaging and Microfilm Lab.

OUTDATED OR REPLACED

Some records are only useful while they are the active copy of the information, and have no agency or historical value once a new version has been created or received. For records like these, you will likely see retention instructions of "DESTROY when outdated or replaced." This means that once you have the new copy, or the information on your current copy is no longer accurate, it's fine to destroy that one.

PERMANENT

Just what it sounds like: these records must be maintained permanently for historical or other long-term purposes. However, they *might* not have to be maintained permanently in your office. PERMANENT records that are no longer needed in your office may be transferred to the Indiana Archives *at the discretion of the Archives*, and on a space-available basis. (Be aware that title to any record transferred to the Indiana Archives transfers along with the record, per Indiana Code 5-15-5.1-11.)

TRANSFER

Most often used to mean: You should move the records from their current location – usually within your office – to the the Indiana Archives, or to some other listed repository.

In some rare cases: You may find a phrase like "If XYZ happens, TRANSFER to Record Series PDQ." In that situation, TRANSFER means that because certain criteria (XYZ) have been met, these records should now be considered to fall under a different record series (PDQ), and you should follow the retention instructions for that other series.

Terms Used in the Record Series/Retention Schedule Search

While you won't find them in a printed retention schedule, these may come up if you're using IARA's online search:

Discontinued series: This is a record series that is deactivated and no longer authorized for use. Either the record type is no longer created, or the records are now covered under a different record series. Discontinued series will not appear on printed retention schedules, but are available in the online search, so that you can research them for historical purposes.

Status note: If present, this note will let you know when a record series was discontinued, why, and which other record series (if any) to use in place of it.



3.1g Differences in Format

The Retention and Disposition instructions in a record series are phrased for the format in which a record is most *commonly* found. They may refer to destroying records because most records of that type are paper records, or deleting records because most records of that type are electronic records, or imaging paper records and then destroying the originals because that's a known workflow of many offices.

However, records can be created or received in many formats; they may also be converted from one format to another. If the retention instructions in the applicable record series don't address the format of the specific records you're working with, follow these rules to handle that:

1. **Record series whose descriptions state "THIS IS A CRITICAL RECORD" must always be transferred to microfilm if the original format makes that possible**, with one copy of the microfilm located at the originating office, and the original roll or negative transferred to the Indiana Archives. Original paper records may be destroyed after verification of the microfilm for completeness and legibility, or they may be transferred to a local historical entity using the process described in Section 4.5.

If your original CRITICAL records are in electronic or audiovisual format, contact IARA's Electronic Records Program to determine the best method of preservation and transfer to the Indiana Archives.

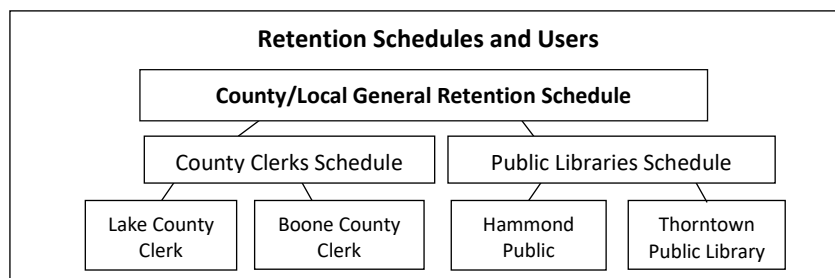
2. **For any records NOT designated as CRITICAL on the retention schedule:**

- a. If the retention schedule says the final disposition is DESTROY, but you have electronic records, DELETE them instead. (For details on proper deletion of electronic records, see Section 5 of this Handbook.)
- b. If the retention schedule says to MICROFILM but you would prefer to maintain the records in your office in their original format (paper or electronic), this is fine, provided you are able to care for the records in the original format for the duration of their retention. Microfilming is always optional for records not marked as CRITICAL.
- c. If the retention schedule does not mention microfilm or imaging, but you would prefer to microfilm and/or image your records according to IARA standards (see Section 4.3 of this Handbook), then destroy the originals, this is *also* fine.
 - i. Once the microfilm/digital record has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to them, while the original is considered a duplicate.
 - ii. Duplicates may be destroyed *at any time*, as described on in Section 2.4 of this Handbook.
- d. If the retention schedule says the final disposition is TRANSFER to the INDIANA ARCHIVES, this applies no matter what format you have. (For help with transferring electronic records to the Archives, see Section 5.4 of this Handbook.)

3.2a General and Office-Specific Retention Schedules

Office-specific county/local retention schedules list all of the record series that belong to a general *function* of county or local government, rather than any specific county, city, or other political subdivision. So the County Clerks retention schedule applies to *all* County Clerks in Indiana; the Public Libraries retention schedule applies to *all* public libraries, and so on.

The County/Local General Retention Schedule contains broad and common record series that can apply to *all* units of county or local government. Those record series should only be used, however, if there isn't an applicable record series on the specific retention schedule for your type of government office. Check your own retention schedule first, then the GEN schedule.



Order of identifying records: office-specific retention schedule → County/Local General Schedule → contact IARA for help.

To get the latest approved version of any county/local government retention schedule, see the iara.IN.gov website under *Services For Government / County/Local Retention Schedules*, or contact IARA's County/Local Records Management section directly at cty@iara.in.gov / 317-232-3380.

3.2b Creating and Revising County/Local Retention Schedules

The first step that IARA takes is to research the *types* of records created or received by the category of public office that will be affected, using a combination of discussion with local officeholders and staff, review of items that have been identified as not covered by a current records retention schedule, and advice from relevant state agencies such as the State Board of Accounts and Public Access Counselor.

IARA's records analysts compare this information to the existing retention schedule for the office (if there is one) and the County/Local General Retention Schedule, and note:

- which records are already sufficiently described on a retention schedule
- which records are not covered and need to be added
- which records may fall under an existing record series if the description is expanded or clarified
- which existing record series need other updates to description or retention instructions
- which existing record series need to be deactivated because they are no longer created or received

Once this review is complete, the records analysts will create a new draft based on the gathered information, which is reviewed by IARA's administrative team and selected officeholders/staff.

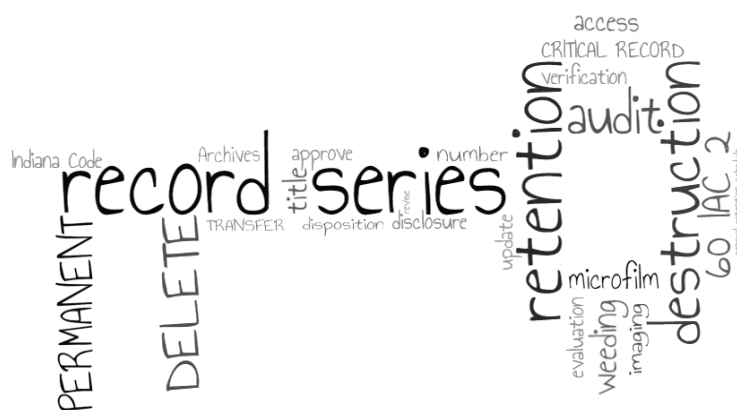
When all parties are satisfied, the final draft is submitted for the approval at the next monthly meeting of the Oversight Committee on Public Records.

The OCPR is the state-level counterpart of your County Commissions of Public Records, and consists of representatives from the Governor's Office, the Secretary of State, the State Board of Accounts, the State Library, the Department of Administration, the Office of Technology, and the Public Access Counselor, plus a member of the press or journalistic professional agency, a member of the public, generally in a records-related profession, and a county clerk or recorder who serves on a county Commission of Public Records.

The Director of the Archives and Records Administration always serves as the Secretary for the OCPR, just like your County Clerk or Recorder always serves as the Secretary for your county Commission of Public Records.

The time and date of the next OCPR meeting are always posted on IARA's website, under *About Us / Oversight Committee on Public Records*, as well as the minutes of the previous months' meetings. Once the agenda for the upcoming meeting has been set, it is also posted there. Meetings are open to the public and, of course, to representatives of any affected public office.

Once the OCPR approves a schedule, the Secretary of the Oversight Committee on Public Records signs it, copies are distributed to the Secretary of each county Commission of Public Records, and it is posted for all to read on the IARA website. At this point, the new retention schedule goes into effect and should be followed.



4. RECORDS DISPOSITION

Once you know how to read and understand retention schedules and record series, you can apply those retention and disposition instructions to your own records.

The first rule of records disposition is that we **DO** talk about records disposition. Contact IARA's County/Local Records Management section **FIRST** – before you start filling out any forms – if:

- you don't know the record series that applies to your records
- you think you know it, but you're not quite sure
- you don't think there **IS** a record series that covers the records you've got
- you have any other questions about the forms, or the process.

IARA staff will help you to determine the correct record series and how to dispose of it, or they'll confirm for you that there *isn't* a correct record series and help you fill out the form for *that*. Contacting IARA if you're uncertain about any part of the disposition process will save you both time and trouble by assuring that everything is done right the first time.

Records that are covered by a record-series/retention schedule are referred to in Section 4 as "scheduled records" while records not on a retention schedule (or not on a retention schedule yet) are called "nonscheduled records." There are disposition processes available for both, and this section will walk you through all of them.

4.1 Maintaining Permanent Scheduled Records In Your Office

This is the least complicated records disposition process – there are no forms to fill out or permissions to seek – but it's also the one that has the most impact on your storage capacity.

If the disposition information on your record series says PERMANENT, then one of your options is to retain those records right where they are: in the office of origin.

For paper records, this is an easy thing to do, initially. However, those paper records may begin to take up more space than you were expecting, so it could also be an expensive option. If your storage facilities are less than ideal for preserving records, there is also the possibility of damage to valuable historical information.

Microfilming your PERMANENT records (see Section 4.1c), while not mandatory unless the records are also listed as Critical, may be the best option for you if you wish to keep retaining them in your office, but lack the space or the safety conditions to properly do so.

If your PERMANENT records are electronic, it's not advisable to store them forever in only that format (see Section 5); contact IARA's Electronic Records Program (e-records @iara.in.gov) for advice and options on permanent electronic records.

4.2 Transferring Permanent Scheduled Records to the Indiana Archives

The Indiana Archives collects Indiana government records of permanent legal or historical significance. Most records held by the Archives are open to review and are available for examination. Records deemed confidential by law are restricted, as are records in great need of conservation that are too fragile to be examined.

When an agency or office transfers its records to the Indiana Archives, the title to these records is transferred to the Indiana Archives as well.

- If your retention schedule says "PERMANENT" but you don't want to keep the records permanently in your office, the Indiana Archives *may* accept them into its collections, on a case by case basis.
- If your retention schedule specifically says "TRANSFER to the Indiana Archives," then the Archives *will* accept them, provided there is available space.

Regardless of which of the above situations applies to your records, Section 4.2a explains how to start the process.



4.2a Contact the Archivists

Before sending records, Records Custodians should contact the Indiana Archives to describe the materials involved, find out if the Archives must or wishes to accept them, and determine what steps to take for the transfer:

For physical records, contact arc@iara.in.gov or call 317-591-5222 to speak with an archivist.

For electronic records, contact IARA's Electronic Records Program at erecords@iara.in.gov.

If the records will not be accepted by the Indiana Archives: discuss your best options with the archivists for preserving them in your office as described in Section 4.1.

If the records will be accepted by the Indiana Archives: the archivists will walk you through the process of how to best transfer the records. The transfer paperwork must be submitted to and approved by the Indiana Archives before any records may be transferred.

Please refer to the guidelines and instructions that follow (the rest of Section 4.2b) for additional information and specifics of the process that might not be covered in your conversations with Indiana Archives staff.

4.2b Packing Guidelines

The following are guidelines for packing boxes that should be followed *in addition to* contacting the Archives staff, not instead of.

- Physical records should be packed in cubic-foot records boxes with lids, unless the record format is too large.
- Reels of microfilm should be placed in individual, carefully-labeled acid-free boxes, then *those* boxes should be packed in cubic foot records boxes, with the labels on the reel boxes facing up and in the same direction. A Microfilm Transmittal and Receipt (SF 52408 – see Appendix B) should be filled out and submitted to the County / Local Records Management section, who will verify it against county/local retention schedules, then pass it on to the Indiana Archives for the rest of the transfer process.
- Each box must be properly labeled with the following information: name of originating office, record series title, record series number, box number and total number of boxes.
 - For example, if the Allen County Clerk's office transferred thirteen boxes, the proper label for Box Ten would read:
Allen County Clerk | Oaths/Certificates of Public Officials | CL 10-6 | Box 10 of 13.
- Beyond just labeling the boxes, the Records Custodian should make an inventory of the records involved to prevent any confusion over what has been transferred. Each inventory should include a list of the folders or of the microfilm rolls enclosed in a particular box. As well, please include the name and telephone number of the person making the transfer.
- Records with different record series numbers should be boxed separately.
- Records that could potentially be damaged in transit, such as fragile documents or physical media such as CDs, cassettes, and USB drives should be packaged in such a way as to prevent breakage. Hard drives should be sent with cables included.

4.2c State Archives Records Transmittal and Receipt Form, State Form 48883 (Appendix A)

After physical records are properly boxed and labeled, or electronic records are arranged as instructed by Electronic Records Program staff, the Records Custodian should fill out State Form 48883. **A separate form should be filled out for each record series number being transferred**, regardless of whether the records are sent to the Archives physically or digitally.

4.2d After Transfer

The Indiana Archives staff will process the records according to the retention schedule. Some records may be thinned or sampled according to archival criteria, while others will be kept in their entirety. Archives staff will provide a copy of the accession report upon request.

Records that are not confidential will be available to the public for viewing. Confidential records will be withheld according to the relevant statute (or a redacted copy will be provided for viewing) unless proof of authorization to view the records is supplied by the patron.

The Indiana Archives full catalog can also be searched online at researchindiana.iara.in.gov.



4.3 Microfilming or Imaging Records

Microfilming or imaging is not the *end* of any disposition path (that microfilm is still a record that you're storing somewhere), but it can be *part* of fulfilling the disposition for permanent or long-term records. It's also an option for non-permanent records that are taking up too much space in your office, or could simply be more easily accessed in a film or electronic form.

4.3a Acceptability of Microfilm and Imaged Records for Record Retention Requirements

ANY record may be microfilmed according to the standards outlined in 60 IAC 2 or Indiana Rules of Court Administrative Rule 6, to meet storage /access needs. Once the microfilm has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to it, while the original is considered a duplicate and may be destroyed as discussed in Section 2.4.

ANY record may be imaged according to IARA imaging standards (OCPR Policy 20-02) to meet storage/access needs.

- **PERMANENT records:** originals may not be destroyed after imaging unless they have also been microfilmed.
- **Non-permanent records:** once the digital record has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to it, while the original is considered a duplicate and may be destroyed as discussed in Section 2.4.

4.3b The State Imaging and Microfilm Laboratory

The purpose of the State Imaging and Microfilm Laboratory is to safely preserve records for long time storage and make it easy for agencies and offices to access said records. One way the Imaging Lab does this is through microfilming, where both paper and digital documents can be converted to film for long term preservation. Through a multitude of processes, physical formats can also be converted to electronic files in order to increase the ease of accessibility for agencies. The Request for Services form (SF 56676, see Appendix C) has the list of services that the lab is able to perform. If there is a need not listed, please call the Imaging Lab to discuss a possible solution.



It is the goal of the State Imaging and Microfilm Laboratory to become the specialist for the ever-changing records preservation and accessibility needs of Indiana government. While we understand that distance and budget may affect a local office's ability to use their services, IARA strongly encourages you to contact the Lab to discuss your records situation and requirements before making that decision.

4.3c Transferring Records to the State Imaging and Microfilm Laboratory

To initiate an imaging project, the local Records Custodian should contact the State Imaging and Microfilm Laboratory to discuss their office's needs, and fill out a Request for Services form (SF 56676, see Appendix C). The laboratory will then prepare for the office an agreement that states the procedures used by the lab and describes its services.

Records must be properly prepared before transfer. All staples, paper clips, and other fasteners must be removed. Physical records should be sent to the lab in cubic-foot records boxes. The files within each box and the records within each file must be placed in the proper sequence in the order to be filmed. All files will be microfilmed and/or imaged in the order in which they are found.

Each box should be marked properly on the outside using carton labels. The label should include the office name, the record series number and title, and the number of the box within the group (i.e. "Box 1 of 10"). Each box should also contain a list of its contents. This list will help laboratory staff to keep folders in their proper order and in the proper box.

Digital records should be sent to the lab on an encrypted CD or external hard drive. The files within must be placed in the proper sequence in the order to be filmed. All files will be microfilmed and/or imaged in the order in which they are found. Each CD or external drive should be marked properly and include a physical and digital manifest. These lists will help laboratory staff to keep files in their proper order.

If records cannot be or are not prepared properly, the State Imaging and Microfilm Laboratory is willing to process the materials for a fee (see SF 56676, Appendix C). Contact the State Imaging and Microfilm Laboratory to discuss the needs for such records.

NOTE: Due to the limited space available for records storage, please call the State Imaging and Microfilm Laboratory for availability of shelf space before sending records.

4.3d Verification of Services Against the Original Documents

All microfilm of Indiana government records must comply with the requirements of Title 60, Section 2, of the Indiana Administrative Code, which establishes standards for producing and preserving archival quality microfilm. The full text of Title 60 can be found via the IARA website under *Services for Government/Laws, Rules, and Policies*.

After microfilming records, the State Imaging and Microfilm Laboratory will review and test the physical characteristics of the microfilm. Staff will not review the film for content. As per 60 IAC 2, each originating office is responsible for verifying its microfilm against the original documents. Accordingly, the laboratory will return the original records and a duplicate working microfilm copy to the office after filming for verification and review.

All digital images of Indiana government records must meet a minimum standard of 300 dpi (dots per inch) on records scheduled for transfer to the Indiana Archives, and 200 dpi on all other records. Imaging performed by the State Imaging and Microfilm Laboratory meets these standards, but as with microfilm, the office of origin is responsible for verifying the digital images against the original documents. After imaging, the laboratory will return the original records and new digital images to the office for verification and review, along with a Certificate of Compliance/Verification (SF 42775, see Appendix C).

After receiving the records and the duplicate microfilm and/or digital images, the office of origin should review them for completeness and legibility. If the film or digital images are not a complete copy of the records or are not legible, the records should be returned to the lab for re-processing. If the film or digital images *are* a correct copy, the office should confirm that by completing and signing the Certificate of Compliance / Verification that came with the film, and sending that to the State Imaging and Microfilm Lab.

The retention schedule may specify a modification of this standard procedure; in this case, the government office should inform the laboratory staff of any variation.



4.3e Microfilming/Imaging Done by an Office of Origin

Standards and Testing

Local offices that do their own microfilming or use another agency should contact the State Imaging and Microfilm Laboratory for information on both filming and processing procedures. To comply with the requirements of 60 IAC 2, several technical standards must be met. The laboratory can provide the necessary assistance and/or training.

A complete microfilming program requires the use of a microfilm camera to capture the images and a microfilm processor to develop the film. Before the microfilming process is initiated, calibration tests are necessary to coordinate the camera and the processor. The laboratory staff should be contacted to ensure that the appropriate tests are conducted.

Local offices that do their own scanning or digital document capture or use another agency should contact the State Imaging and Microfilm Laboratory for information on proper procedure. All digital material must comply with the minimum requirements discussed in Section 4.2.

Processing Existing Film/Images

If a local office wishes the State Imaging and Microfilm Laboratory to physically or digitally duplicate microfilm or images created by another entity, the materials must be sent to the lab for processing. (Duplication of IARA-created microfilm does not require this, since IARA has the original negatives.)

Each set of materials sent to the Microfilm Laboratory for processing or scanning must be properly labeled and contain the name of the originating office, the record series number, the record series title, and where applicable, the name of the starting and ending files of the roll or reel, and the roll or reel number.

Outside Vendors

It is strongly suggested that Indiana government offices use the State Imaging and Microfilm Laboratory for all of their imaging and microfilming needs; a local office should consult directly with the lab before contacting any outside vendor. An office that does choose to contract with a private firm or outside vendor for microfilming original documents must determine, prior to signing a contract, whether or not the microfilm standards in 60 IAC 2 are applicable. Should these standards apply, a copy of 60 IAC 2 and a copy of the relevant record series must be attached to the contract.

4.3f Charges for Services at the State Imaging and Microfilm Laboratory

Micrographics services from IARA are provided at cost. The fees provide funds for the Archives and Records Administration to purchase replacement supplies for the State Imaging and Microfilm Laboratory and support the Indiana Archives. The current rate schedule is available on the Request for Services form (SF 56676, see Appendix C), which must be filled out in full before the lab can begin work.

4.4 Destroying Non-Permanent Scheduled Records

If your record series says to DESTROY records after a certain time period, the process for doing that in a legal manner starts with making sure that your records have reached the end of that time period, and met any additional requirements.

4.4a Disposition Eligibility

Destruction Date

To calculate the date when records become eligible for destruction if all other requirements are met, start with the month/year date of the latest records in a box, then add the period specified in the retention schedule, plus one month.

For example, using our old friend CL 10-17:

RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
CL 10-17	BAIL AGENT LICENSE/POWER OF ATTORNEY Retention based on IC 27-10-3.	DESTROY three (3) years after expiration of license.

The retention instructions here say that the records can be destroyed three (3) years after expiration of license. If the latest license file in a box expired in March, 2014, then the contents of the box may be destroyed in April, 2017.

Additional Requirements

An example of a record series with additional requirements for destruction would be GEN 10-11, from the County/Local General Retention Schedule: "DESTROY after ten (10) years and *after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.*"

To meet those requirements, the most recent file in the box must be ten years old, *and* the most recent State Board of Accounts Audit Report for your unit of government must have been published after that file was closed. (See Section 3.1f for how to verify SBOA Audit Report dates.)

That's the most common additional requirement. Others would be specific to the record type and might include closure of a related file under another record series, or publication of a Federal or independent audit.

If You're Not Sure

If you're not sure whether you have the destruction date figured correctly, **contact the IARA County/Local Records Section**. They can help you figure out the correct dates and save you the trouble of having to fix an incorrectly-completed form.

4.4b Disposition Process

Once you've calculated the correct dates, the rest of the process for the originating office is simple:

- 1) **Fill out State Form 44905**, Notice of Destruction of County/Local Government Records in Accordance With an Approved Retention Schedule. (See Appendix D.)
- 2) Send the Notice of Destruction to IARA's County/Local Records Management section at the listed address. (Keep a copy.)
- 3) Wait 30 days.
- 4) **If IARA has not contacted you with questions/requests for correction after 30 days, you may destroy the records.**
 - a) IARA will only contact you if there's a question or problem, or if they believe the records have historical value and would like you to transfer them to the Indiana Archives.
 - b) If you *are* contacted, IARA will work with you to solve the issues and let you know when you can destroy the records, or they'll ask you to follow the process described in Section 4.5 to get them transferred to the Archives.
- 5) *How* you destroy your records is up to you or your office's administrators, but confidential records must be destroyed completely and in a manner that doesn't expose them to unauthorized viewers while they're being destroyed.
- 6) Fill in the date of the actual destruction and related information on your copy of the Notice of Destruction.
- 7) Send a copy of the completed form to the Secretary of your County Commission of Public Records. If you don't know who that is, it's either your County Clerk or your County Recorder; you can contact their office(s) to confirm.

If you *are* the Secretary for your County Commission, see Section 6 for how to handle your duties as the Secretary. This page only addresses what you need to do as the custodian/originating office of the records.
- 8) Maintain your copy of the Notice of Destruction permanently in your office under Record Series GEN 20-1.



4.5 Disposing of Nonscheduled Records

If your records do not seem to be covered on your office-specific retention schedule or the County/Local General Retention Schedule, your first step should always be to **contact IARA's County/Local Records Management section for guidance**. They'll help you determine if there actually *is* a record series which applies to your records (which often happens), or not, in which case they qualify as "nonscheduled."

4.5a Disposition Possibilities

Nonscheduled records have three possible dispositions:

1. **Destroying them** – the most common situation.
2. **Transferring them to the Indiana Archives** – County/Local Records Management will let you know if you should do this.
3. **Transferring them to a local historical entity**, such as a county archive, local library, or historical society.

If the records contain confidential information, they may be transferred as-is to the Indiana Archives, but if transferring to a local historical entity, that confidential information must be removed and destroyed before the transfer. If *all* of the records are confidential, then transferring to a local historical entity is not an option.

Unscheduled records which County/Local Records Management has told you are PERMANENT may only be transferred to the Indiana Archives or maintained in your office.

4.5b Disposition Process

To dispose of nonscheduled records, you'll fill out SF 30505, Request For Exception to County/Local Retention Schedule or Permission to Dispose of Nonscheduled County/Local Public Records. (Also known as a PR-1; see Appendix E.)

Always confirm with County/Local Records Management that it's necessary before you start filling out a PR-1. It's not for records whose record series you need help identifying, only for those that you know *for sure* are not covered by a retention schedule.

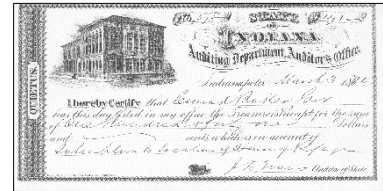
1. Fill out **all** of the information on Page 1 of the SF 30505/PR-1.
 - a. Under "Type of request," check "Destroy unscheduled records" unless the Indiana Archives or a local historical entity has already requested them, in which case you can check the appropriate "Transfer unscheduled records to..." box instead.
 - b. In the "Name or description of records" box, describe the scheduled records you want to destroy. In the "Name or description of records" box, the note about including record series numbers doesn't apply in this situation. There shouldn't *be* a record series number.
 - c. The date span of the records must show that they are all eligible for destruction under their existing record series.
2. Send **both** pages of the form to the Secretary of your County Commission of Public Records.
 - a. If you don't know who that is, it's either your County Clerk or your County Recorder; you can contact their office(s) to confirm.
 - b. If you *are* the Secretary for your County Commission, see Section 6 for how to handle your duties as the Secretary. This section only addresses what you need to do as the custodian/originating office of the records.
3. The Secretary will place the request on the agenda for the next meeting of your county Commission for Public Records.
 - a. If it's not approved there, the request will be returned to you. (This rarely happens.) Follow any instructions from the Commission that have been added on the second page.
 - b. If it's approved by the Commission
 - i. The Secretary will have the Chairperson sign it, then sign it themselves, then they will send a copy to IARA and to any relevant local historical entity.
 - ii. Both IARA and the historical entity/entities have 60 days to respond if they have any objections to the requested exception.
 - iii. If no reply has been received after 60 days (or if affirmative replies are received from all parties before the 60 days are up), the Secretary will sign the final part of the SF 30505 on page 2 and send back to you.

4. You now have permission to transfer the records, following any modifications to the request that the Commission may have made on page 2 of your State Form 30505/PR-1.
 - a. Use SF 48883 if transferring the records to the Indiana Archives, following the procedure described in Section 4.2.
 - b. If transferring to a historical entity, use their preferred transfer form.
5. After transfer, retain your copies of the related forms (SF 30505/PR-1, and SF 48883 or the historical entity's transfer form) permanently in your office under Record Series GEN 20-01 on the County/Local General Retention Schedule.

4.6 Exceptions to the Retention Schedule

In some cases, specific records from a record series that is usually destroyed are determined to have historical value, and are requested for the collections of the Indiana Archives, or a local historical entity such as a county archive, historical society, or library.

Indiana Code 15-6-2.5(c) provides allowance for exceptions to the retention schedule in such cases, if the exception is approved by your County Commission of Public Records and by IARA.



If the records contain confidential information, they may be transferred as-is to the Indiana Archives, but if transferring to a local historical entity, that confidential information must be removed and destroyed before the transfer. If *all* of the records are confidential, then transferring to a local historical entity is not an option.

4.6a Disposition Eligibility

Before such a transfer can occur, the records must be eligible for destruction under the record series that covers them, as described in Section 4.4a.

4.6b Disposition Process

To request the transfer, you'll need to fill out SF 30505, Request For Exception to County/Local Retention Schedule or Permission to Dispose of Nonscheduled County/Local Public Records (PR-1, see Appendix E).

The process is exactly the same as the one outlined in Section 4.5b on the previous page, EXCEPT –

- Under "Type of request," check one of the two "Exception: transfer scheduled records to ____ in lieu of destruction" boxes.
- In the "Name or description of records" box, that description **must** include their record series number.

4.7 Status of Records Transferred to a Local Historical Entity

By law (IC 5-15-6-7), public records transferred to a local historical entity *remain* public records, subject to the Indiana Access to Public Records Act and IARA records disposition processes.

If a local historical entity that has obtained public records from you later wishes to destroy those records, transfer them to the Indiana Archives, or transfer them back to you, they must submit their own PR-1 to your County Commission of Public Records, using the process described in Section 4.5b.

When filling out SF 30505, they should either check "Destroy records" or the appropriate Transfer box for the type of records (scheduled or unscheduled) and the transfer location. If the transfer is back to *you*, then your office would be considered the "local historical entity" for the purposes of the form, and listed in the box above the signature line on page 1.

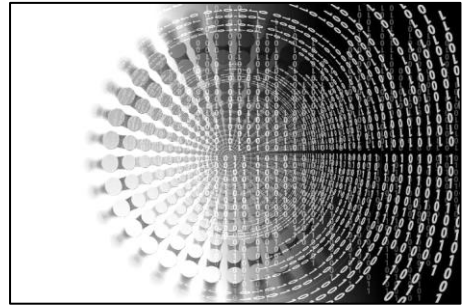
5. CARING FOR ELECTRONIC RECORDS

5.1 Electronic Record Keeping

Electronic records are any records created, maintained, altered, or deleted in a digital format. These records are subject to the same record keeping requirements as are paper records.

However, the complexities of media (the physical storage objects on which electronic records are stored) and format (the programs, versions, file types, and operating systems that are required to access the records) require agencies to think ahead, and incorporate records retention requirements within record keeping systems when they're being designed.

Officeholders and administrators must work with their IT staff to communicate retention policies for electronic records to their office's employees, and take the steps necessary to ensure compliance.



5.1a Electronic Record Keeping Systems

Documentation

Proper records retention and disposition must include full, accurate, and current documentation of the system (hardware and software), functions supported by the system, how the information is collected, used, accessed, and maintained on each of the systems mediums, and the procedural controls employed to preserve the integrity of the system's data.

Documentation files should do the following: identify system hardware and software; formalize file naming conventions; perform back up and security procedures; identify the sources and uses of information and their confidential or non-confidential status; and outline quality control procedures and storage requirements. Documentation should also cover employee training procedures and the verification of employee attendance at training sessions.

Development and Implementation

Before implementing any new electronic records system, consult with IARA's Electronic Records staff (erecords@iara.in.gov).

Several issues should be addressed when developing an electronic records program as different offices have a wide range of system capabilities and characteristics. To determine the most accurate, complete, and practical method of managing records, offices need to develop procedures that fit their specific situations. Understanding the capabilities of a system is a prerequisite to determining how the records will be identified, organized, and stored. IARA's Electronic Records staff can advise your office on appropriate software and options for retention within that system type.

The following questions are designed to assist records custodians, administrators, and systems designers when developing an electronic record keeping system:

1. How long are the records to be retained? If the system will contain multiple record series, how will you identify which records within the system belong to which record series?
2. If some or all of the electronic records are required to be transferred to the Indiana Archives at a certain time, how will you identify those records, and can they be exported in a format which the Archives can accept?
3. Will secondary information, such as reports, be created from the data, and how will these be maintained?
4. Can old records be converted easily to new versions of software without loss of data?
5. How will access to the records be maintained?
6. Are the records confidential?
7. How will the system be secured?
8. What is the system back-up and/or disaster plan?
9. Who will maintain documentation of the system?

5.1b Trustworthy Records

Government offices are responsible for establishing the trustworthiness of their electronic records when called upon to do so in a court of law or while fulfilling an Access to Public Records Act (APRA) request. The trustworthiness of electronic records depends on their:

- Integrity: the content is complete and untampered. Any modifications are documented according to pre-established policies.
- Usability: the content can be located and viewed. Any relevant context should be maintained.
- Reliability: the content is a complete and accurate representation of office activities.
- Authenticity: the content can be proven to have been created by the originating office.

An excellent way to establish trustworthy records is to follow the procedures outlined in Section 5.1a. Specifically, creating high quality documentation of record keeping systems, working with IARA during the design phase of your system, and ensuring that you are creating electronic records that will be usable for the entirety of their legally required lifespan.

Offices collecting information on citizens, particularly that of a personal nature, should be aware of the Fair Information Practices Act (FIPA), IC 4-1-6-1, as it defines statutory requirements for documentation. Because of FIPA, the importance of documenting procedures for systems that transmit or store personal information cannot be overemphasized.

5.1c Preservation

There are two main categories of electronic records: born-digital records and digitized records.

Born-digital records are records that are created from the beginning in a digital format. They come in a variety of structured and unstructured formats, for example: e-mail, PowerPoint presentations, and databases.

Digitized records have been converted into a computer-based format from paper or another analog format. Some examples are scanned documents and audio cassette tapes converted to MP3 files.

It is important to keep in mind that no electronic format can be considered truly "permanent." The records you create may be considered of permanent evidentiary, fiscal, or historical value, but the media they are stored on will not last forever!

This aspect of electronic records is critical to their long-term accessibility. Consider the last time you saw a computer with a 3.5" floppy drive, or were able to open a document created in Microsoft Office 95. Computer hardware and software can become obsolete within a relatively short period of time, which requires that your office monitor and migrate your files to updated systems and formats as needed to ensure they remain readable on current equipment.



5.1d

Access

Difficulty in retrieving these records is not a legitimate reason to deny access; therefore, electronic records must remain reasonably accessible within the office throughout the required retention period. Requests for non-confidential electronic records must be treated in the same manner as requests for other public records.

Regarding the public's right to inspect and copy public records or recordings, Indiana Code 5-14-3-3(2)(j) indicates the following:

A public agency that maintains or contracts for the maintenance of public records in an electronic data storage system shall make reasonable efforts to provide to a person making a request a copy of all disclosable data contained in the records on paper, disk, tape, drum, or any other method of electronic retrieval if the medium requested is compatible with the agency's data storage system.

Maintaining accessible records is the responsibility of the office of origin. Prior to transfer of records to the Archives, your office may be asked to convert or migrate records if they have not been held in an acceptable modern format.

5.1e Organization

Electronic records should be indexed in an organized and consistent manner, and reflect the way they will be used and referenced. A good rule of thumb can be to apply successful organizational processes already in use for your office's paper records. Every effort should be made to file electronic records systematically for convenient retrieval.

Records maintained electronically have the potential advantage of supplying multiple access or index points.

Example: Office correspondence is indexed in the following manner:

- date sent or received
- name of the sender or recipient
- subject, topic, or purpose

If the correspondence is related to a particular type of record, such as a personnel file, the primary index point will be what is used for that file (the name and/or social security number of the employee).

Standardized filing rules within an office or administration may serve this purpose. File naming conventions that standardize labels, acronyms, and date formats across an organization can make this easier, and additionally support the retrieval of documents through the use of key words and terms. Barcodes or ID numbers can also act as unique identifiers for locating specific records.

Offices not technologically equipped to maintain electronic records for the full retention period in a readable electronic format should contact IARA's Electronic Records team for advice and assistance.

5.1f Security

In addition to following all information security policies established by your governing body or IT office, security measures should be taken within your office's electronic record systems to protect records from unauthorized alterations or deletions.

5.1g Destruction

All electronic records must be disposed of in a manner that ensures protection of any sensitive, proprietary, or confidential information. Magnetic recording media previously used for electronic records containing sensitive, proprietary, or confidential information is not to be reused if the previously recorded information might be compromised in any way by reuse.

5.1h Education

Officeholders and administrators are responsible for ensuring that employees become familiar with the legal requirements for creation, maintenance, and disposition of records. Records custodians should emphasize to electronic technology users that electronic records are public records subject to records retention schedules.

5.2 Electronic Communications

Because electronic communication is increasingly used to conduct state government business, its volume and ease of creation/deletion present special challenges for records management. Electronic communications include but are not limited to e-mail, texting, chat logs, recordings of video chat, voicemail (recordings and transcripts), blogging, and social media.

It's crucial that agencies develop procedures to ensure that records created or received via electronic communication systems are managed according to approved records retention schedules and record series. All electronic communication conducted on state government computers is owned by the State of Indiana and *almost* all of it is subject to record retention requirements, just like any other information created and collected by your agency.

One of the most important things to know about electronic communication is that it is only a *format*, not a record series. An inbox full of e-mails is legally the same as a stack of physical letters on your desk: a collection of records that needs to be sorted by content into the various record series that apply to each type of information, and retained for the same time period as you would retain a paper letter about the same subject.

That sorting doesn't have to be difficult, however, because most agency electronic communications are going to fall into one of four categories:

- **Personal and Transitory messages:** Transitory communications include unsolicited advertisements, the recipient's copy of messages sent to a mass audience (such as a professional mailing list or a group chat), and routine office communications that convey information of temporary value, the equivalent of a sticky note or "while you were out" phone message.
- **General Files** – GRADM-4 on the General Retention Schedule for All State Agencies.
- **Policy Files - Appointing Authorities, Deputies, and Division Directors** – GRADM-3 on the General Retention Schedule for All State Agencies.
- **Program-related records:** Records related to the specific programs of your office, which you would classify under the same record series numbers that you use for records in that program that *aren't* electronic messages.

5.3 Imaged Records

Imaged records are a specific type of digitized record: a paper or other eye-readable physical record is electronically scanned, which creates a picture of it in digital form.

IC 5-15-1-1(a) explicitly allows for the use of an imaging system in the creation and storage of public records:

Any officer, office, court, commission, board, institution, department, agent, or employee of the state may have or cause to have records recorded, copied, or reproduced under this subsection by any optical imaging process that correctly and accurately copies or reproduces, recreates, or forms a medium of copying or reproducing the original record, document, plat, paper, or instrument in writing.

As long as your digitized images meet the qualifications listed in OCPD Policy 20-01 (Appendix F) and the resolution standards set out in OCPD Policy 20-02 (Appendix G), you may use them to meet both the requirements of your records retention schedule, and the Indiana Access to Public Records Act.

This means that unless your retention schedule specifies that the records are CRITICAL RECORDS (see Section 3.1f), **you may**

- **image *any* record**, regardless of whether imaging is specifically mentioned in the Retention and Disposition instructions.
- **destroy originals of non-PERMANENT records** once you have verified that images are exact duplicates and meet the specifications in Policy 20-02.
- **destroy originals of PERMANENT records** after imaging and verification IF they have also been microfilmed according to 60 IAC 2.

If you need guidance on this matter, please contact Electronic Records staff, at erecords@iara.in.gov.

Please contact the State Imaging and Microfilm Lab if you have questions about the process/cost of digitizing your records.

5.4 Transferring Electronic Records to the Archives

The Archives only accepts electronic records that are scheduled for permanent retention and can be proven to be trustworthy (see Section 5.1a).

If this is your first electronic records transfer, please contact the IARA Electronic Records program to discuss the following:

- Record series
- Type of system the records were created in
- File format(s) you will be transferring
- Folder and file organization
- Whether or not the records contain any Personally Identifiable Information (PII) or classified information
- Whether or not the records are on physical media (e.g. a hard drive)
- How often you will be submitting electronic records
- Required documentation

If you have previously transferred records, please provide the IARA Electronic Records program (erecords@iara.in.gov) with a fully-completed and signed State Form 48883 for each record series you are transferring.

Even if you have transferred electronic records previously, it is helpful to conduct an inventory prior to completing State Form 48883. You will want to determine

- how many record series you are transferring.
- the date range of the records.
- the file types.
- the total amount of data to be transferred.
- the types of physical media on which records are stored (if applicable).

Please be aware that larger direct network transfers may require IARA to contact the Indiana Office of Technology for additional support. If you need to submit more than 500GB at once, please contact Electronic Records to discuss appropriate arrangements.

6. DUTIES OF THE SECRETARY FOR THE COUNTY COMMISSION OF PUBLIC RECORDS

The Secretary of a County Commission of Public Records is either the County Clerk, or the County Recorder, depending on the choice of the Commission. Because of this, most Secretaries are also Records Custodians for their own offices, caring for, destroying and transferring their office's records as described in the previous sections of this Handbook.

In this Section, we'll talk about the *other* half of your records responsibility if you're a Secretary: receiving and processing records disposition notices and requests from the governmental offices in your county, and managing the meetings of the County Commission of Public Records.

6.1 Receiving and Handling Notices of Destruction (SF 44905)

Probably the most straightforward part of a Secretary's duties, Notices of Destruction (See Appendix D) will come to you from county and local offices when the destruction is already completed. They're not asking permission, they're just notifying you. (If the date of destruction and signature isn't present on a State Form 44905 that you receive, send it back to the office of origin and explain this fact to them.)

You don't need to sign the form yourself or obtain any additional signatures; you just need to add all of your incoming Notices of Destruction to the agenda for the next meeting of your County Commission of Public Records.

6.1a At the Commission Meeting

Include your accumulated Notices of Destruction in the Official Minutes. They can be read out verbally if the Commission wishes, but this is not required as long as a copy of the forms themselves are attached to the Minutes.

6.1b After the Meeting

File your copy of the Notices of Destruction in your office and maintain them permanently under Record Series GEN 20-1 on the County/Local General Retention Schedule.

[illegible]

6.2 Receiving and Handling Requests For Exception to County/Local Retention Schedule or Permission to Dispose of Nonscheduled County/Local Public Records / PR-1 (SF 44905)

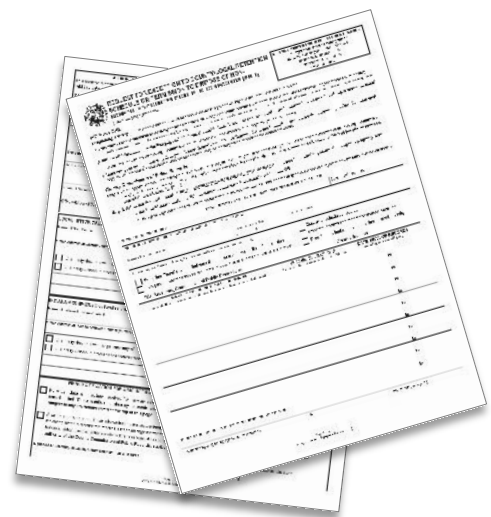
This process is a little more complicated, but it starts the same way: collect the PR-1s (see Appendix E) as they arrive and add them to the agenda for the next meeting of your County Commission of Public Records.

6.2a At the Commission Meeting

At that meeting, the Commission will review and vote to approve (or not approve) the requests. A copy of each PR-1 should be added to the Official Minutes.

6.2b After the Meeting

- 1) If the request was **not approved**:
 - a) Send an unsigned copy of the form back to the office of origin, with a letter or e-mail explaining why the request wasn't approved.
 - b) File a copy of the form and the accompanying correspondence in your office, and maintain it permanently under Record Series GEN-20 on the County/Local General Retention schedule.
- 2) If the request was **approved**:
 - a) Fill out the section on Page 2 of each form that's titled ACTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS.
 - i) Sign and date the appropriate fields in that section.
 - ii) Have the Chairman of the Commission sign and date the appropriate fields.
 - iii) Add your contact information in the fields provided for that.
 - b) Send one copy of the form to IARA's County/Local Records Section at the address listed on the front.
 - c) Send one copy of the form to any active local historical entity in your county for who the records might be relevant.
 - i) If the office of origin has already filled that information in on Page 1, use that entity.
 - ii) If the request was for destruction of the records, an active historical entity has the right to request them instead, so you'll need to determine which, if any, entity is most appropriate, and send the copy to them. If there isn't one, that's fine; just skip Step 2c.
 - d) Wait 60 days for a response from IARA and any historical entity who got a copy of the form. (If you receive responses from all parties before 60 days are up, you can move on to Step 2e.)
 - e) After 60 days have passed, fill out the section on your copy of the form that's titled FINAL NOTIFICATION FOR ORIGINATING AGENCY.
 - i) If no responses, or only "Our entity does not wish to procure..." responses were received, check the first box in the section.
 - ii) If IARA or a historical entity indicated a wish to procure, check the second box in the section.
 - f) Sign and date the form at the bottom of Page 2 and send a copy to the agency of origin.
 - g) File your copy, any forms returned to you from IARA or a historical entity, and any associated correspondence in your office, and maintain them permanently under Record Series GEN 20-1 on the County/Local General Retention Schedule.



6.3 Calling and Conducting a Meeting of Your County Commission of Public Records

Each County Commission of Public Records must meet at least once a year per Indiana Code 5-15-6-1-d, but IARA strongly encourages you to meet more often than that, so that the localities and offices you serve can dispose of their records in a timely and efficient manner.

It's the duty of the Secretary to contact the members and schedule the meetings.

6.3a Commission Members

Members consist of the judge of the circuit court (Chairperson), the clerk of the court (usually the Secretary/you), the president of the board of county commissioners, the county auditor, the county recorder (sometimes the Secretary/you), the superintendent of schools of the school district in which the county seat is located, and the city controller of the county seat city. If there is no city controller, the clerk-treasurer of the county seat city or town has that spot on the Commission.

If you don't know who all the members of your County Commission for Public Records are, contact IARA's County Records section and they can help you figure out which specific individuals to contact.

6.3b Before The Meeting - Preparation

While both PR-1s and Notices of Destruction will come to you all the time from offices which are already familiar with the procedure, you will also need to gather them from those offices that aren't, or which might need a gentle reminder.

Once you have an agenda created, you'll also need to post the required public notices so that the meeting complies with Indiana's Open Door Law.

Prior to a planned meeting of a County Commission of Public Records, the Secretary should:

- 1) **Assemble a list of the local government units in the county**, consisting of: county offices, city and town offices, township offices, public libraries, public schools, and multi-county (regional) units and/ or special districts.
- 2) **Send blank copies of State Form 30505 (PR-1) and State Form 44905 (Notice of Destruction) to each local government unit**, with a letter or e-mail containing a deadline for response, requesting that they:
 - a) Prepare PR-1's, listing all records which are not on an approved retention schedule and therefore need authorization for transfer or destruction.
 - i) Each type of request – destruction, transfer to Indiana Archives, or transfer to a local historical entity - should be submitted on a separate PR-1.)
 - b) Prepare Notices of Destruction, listing all records which appear on an approved retention schedule and meet the prescribed retention period as defined by the Oversight Committee on Public Records.
 - c) Send all of their completed forms to you before the listed deadline.
- 3) **Post a copy of the meeting agenda and announcement**
 - a) at least 48 hours (excluding Saturdays, Sundays, and legal holidays) prior to the meeting
 - i) at the principal office of the public agency holding the meeting.
 - ii) on your website, if you have one.
 - b) sometime prior to the meeting
 - i) at the entrance to the location of the meeting (so people know they've found the correct room).
- 4) **Inform county historical and/or genealogical societies of meeting plans.** These are your "local historical entities" who may have an interest in records that will otherwise be destroyed, and may also simply wish to witness or contribute to the meeting,

6.3c During the Meeting

The Secretary should:

- 1) Take/record minutes (may be designated to a member of your staff)
- 2) Vote/discuss matters as a member of the Commission

The Commission should:

- 1) Review each PR -1 submitted by each local government unit
 - a) Vote to approve or deny presented PR-1s
 - b) Sign and date all actions taken on approved PR-1s (Secretary and Chairperson)
- 2) Discuss any other official business related to county/local public records
- 3) Determine the date of the next meeting of the county commission of public records;
- 4) Adjourn meeting.

6.3d After the Meeting

The Secretary should

- 1) Send the approved and signed PR-1s, a copy of the agenda, and a copy of the official minutes of the meeting to IARA's County/Local Records Management section.
- 2) Send copies of the approved and signed PR-1s to the relevant local historical entities for review.
- 3) Place the agenda and the meeting minutes, including copies of all PR-1s and Notices of Destruction, in a permanent file in the Office of the Clerk of the Circuit Court.
- 4) Notify the appropriate local government units of the final status of their PR-1 requests and file your own copy permanently in your office as described in Section 6.2b of this Handbook.

APPENDICES: STATE FORMS USED BY COUNTY/LOCAL ENTITIES

These are only sample illustrations, and should not be copied for actual use; most of them are not displayed at full size. For the current versions, always visit the **IARA Forms** page, on the IARA website under *Services For Government/IARA Forms*.

State Form 48883 (R7 / 4-20)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION

PAGE NUMBER		TOTAL PAGES	
	OF		

1. Use a separate transmittal for each record series submitted. IARA will not accept any records without prior approval of this form.
2. The transmittal must be typed, printed, or reproduced electronically in order to ensure accuracy and legibility, filled out in its entirety, and signed.
3. Number all boxes / items / media in a continuous sequence. Multiple formats of the same series may be submitted on a single transmittal. One network / SFTP transmittal equates to one "box."
4. NOTES – Please designate importance, if records are scheduled to be sampled, or indicate the type of physical media on which records are held (e.g. CD, audio cassette, film reel).
5. For each box, following the box number, spreadstheets to list (a) paper materials, (b) electronic, include a folder name listing all files submitted and their sizes. For paper transmittals, provide at minimum a list of all boxes and their contents prior to pick-up, or transmittals containing non-paper materials such as disks, audiovisual materials, or objects. A detailed list of all folders/items in each box is preferred. For digital-only transmittals, provide an itemized list of all folders and files submitted, including format and file size (e.g. a directory list).
6. By signing this form, a state or local agency transfers ownership of the records to the IARA, per IC 5-15-5, 1-11.
7. An accession report will be provided upon request.

TO: Indiana State Archives Indiana Archives and Records Administration 6440 E. 30 th Street, Indianapolis, IN 46219 Telephone: (317) 591-3222 Fax: (317) 591-3324 E-mail: arc@iara.IN.gov		FROM: <input type="checkbox"/> State Agency <input type="checkbox"/> County / Local Government State Agency / County / Local Office Division Address Location name where records may be picked-up Address where records may be picked-up		Have these records been imaged (<i>check one</i>)? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required Have these records been audited (<i>check one</i>)? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Required				
AUTHORIZATION TO TRANSFER RECORDS								
Signature of records coordinator / local official		Printed name of records coordinator / local official		Date signed (<i>month, day, year</i>)				
				Telephone number				
				E-mail address				
Name of employee transferring records (<i>if different from above</i>)				Telephone number				
RECORD SERIES INVENTORY								
Record series title				Record series number (<i>e.g. 83-79</i>)				
RECORD DATES		TYPE	NON-PAPER RECORDS ONLY			NOTES (<i>See Instructions above.</i>)		
BOX, ITEM, OR MEDIA NUMBER	TOTAL		FROM (<i>mm/yyyy</i>)	TO (<i>mm/yyyy</i>)	TRANSFER METHOD OR MEDIA		QUANTITY / SIZE / VOLUME (<i>e.g. 123 MB</i>)	NUMBER OF FILES / OBJECTS
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
of				<SELECT ONE>	<SELECT ONE>			
RECEIPT OF RECORDS (<i>For office use only.</i>)								
Signature of State Archives employee receiving records		Printed / typed name of State Archives employee receiving records			Accession number			
					Date (<i>month, day, year</i>)			


DISTRIBUTION: Original - State Archives file; Copy - Agency; Copy - State Archives processing



Instructions for Filling Out State Archives Record Transmittal and Receipt Form (SF 48883)

1. **Page Number/Total Pages:** Assign the page numbers according to the record series being transferred. For example, if you have two boxes containing two different record series, fill out one transmittal form for each of them. The page numbers for both transmittals would be "1 of 1."
2. **From:** The first section indicates the parent office, division if applicable, and full address. The second section indicates the exact location where the boxes can be picked up, if your office is within the Indianapolis/Marion County area. Please make the pick-up easier by being specific.
3. **Authorization to Transfer Records:** The office's Records Custodian should approve the transfer of all records. To indicate their acceptance, they should sign the first line of this section and include their contact information. Then the employee who is transferring the records, if other than the Records Custodian, should print their name and contact information on the last line.
4. **Record Series Inventory:**
 - a. Record series title and number can be found on the appropriate records retention schedule; all boxes listed on a page should fall under the same Record Series.
 - b. In the Box Number column, enter box number out of the total number of boxes: 1 of 15, 2 of 15, etc.
 - c. "Record Dates" refers to the creation dates of the records within that box; be as specific as possible.
 - d. "Type" should indicate whether the records are paper, electronic, or audio/video format.
 - e. The "Non-Paper Records Only" section allows more specific information to be provided for other formats.
 - f. In the notes, if the records need to be sampled in a specific manner, please indicate here.
5. **Send to the Indiana Archives:** After SF 48883 is filled in, send the form to the Indiana Archives at 6440 E. 30th Street. After the retention schedule is verified, the Archives will contact you to schedule the records pick-up or the mode of delivery. If the records are not approved for transfer, your office's Records Custodian will receive a copy of SF 48883 along with an explanatory letter.
6. **Receipt of Records:** When records are picked up or accepted, an IARA staff member will sign their name on the top line of SF 48883, with the printed name below. They will also enter the date and time that the records were picked up. The Records Custodian receives a copy of this receipt. The accession number will be assigned by the Archives later.

APPENDIX B: Indiana Archives - Microfilm Transmittal and Receipt (SF 52408)

 MICROFORM TRANSMITTAL AND RECEIPT <small>State Form 52408 (R2 / 6-15)</small> INDIANA ARCHIVES AND RECORDS ADMINISTRATION		Page 1 of _____ pages								
<p><i>If a State agency complete form and send to:</i></p> <p>Indiana State Archives Indiana Archives and Records Administration 6440 E. 30th Street, Indianapolis, IN 46219 Telephone: (317) 591-5222 Fax: (317) 591-5324 E-mail: aro@iara.in.gov</p>	<p><i>If a county/local government, complete form and send to:</i></p> <p>County/Local Records Management Indiana Archives and Records Administration 402 W. Washington Street, Room W472, Indianapolis, IN 46204 Telephone: (317) 232-3380 Fax: (317) 233-1713 E-mail: cty@iara.in.gov</p>									
<p>Instructions and Guidelines for Transferring Microform Records</p> <ol style="list-style-type: none"> 1. USE A SEPARATE FORM FOR EACH RECORD SERIES 2. This form is to be used only for the transfer of records on any type of Microform. "Microform" means any type of microfilm, microfiche, or Computer Output Microfiche (COM). 3. Complete and send this form to the Indiana Archives and Records Administration (IARA) before sending the microform records. The IARA will not accept any microform records without prior approval of this transmittal form. An approved copy of this form must accompany the microform shipment. 4. Microform records transferred to the Indiana State Archives on an approved retention schedule must have a Record Series Number. Microform records not on an approved retention schedule will be accepted or rejected on a case-by-case basis. 5. By signing this form, a state or local agency transfers ownership of the microform records to the IARA. See IC 5-15-5.1-11. 6. Any microform record transferred to the Archives is considered to be a permanent record. The microform records must therefore meet the standards outlined in 60 IAC 2 or, where applicable, Administrative Rule 6, Indiana Supreme Court. The state or local agency is required to use acid-free boxes. The state or local agency must label the boxes using State Form 36074, which can be ordered from the IARA, State Imaging and Microfilm Laboratory, 100 N. Senate Ave., Rm. N055, Indianapolis, IN 46204, telephone number 317-232-3381, and e-mail address imaging@iara.in.gov. 7. The state or local agency must verify the completeness and legibility of the records on the microform and must provide an inventory of the records on the microform. 										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Name of state agency / county / local office</td> <td colspan="2">Name of division of state agency / county / local office</td> </tr> <tr> <td colspan="2">Record series title</td> <td colspan="2">Record series number</td> </tr> </table>		Name of state agency / county / local office		Name of division of state agency / county / local office		Record series title		Record series number		
Name of state agency / county / local office		Name of division of state agency / county / local office								
Record series title		Record series number								
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td rowspan="2">Total number of rolls or fiche sheets in shipment</td> <td colspan="2">Roll numbers</td> <td rowspan="2">Inclusive dates of records filmed (month, day, year)</td> </tr> <tr> <td>From:</td> <td>To:</td> </tr> </table>		Total number of rolls or fiche sheets in shipment	Roll numbers		Inclusive dates of records filmed (month, day, year)	From:	To:			
Total number of rolls or fiche sheets in shipment	Roll numbers		Inclusive dates of records filmed (month, day, year)							
	From:	To:								
AUTHORIZATION TO TRANSFER MICROFORM RECORDS (to be filled out by the state agency / county / local office)										
Signature of records coordinator / local official		Printed name of records coordinator / local official								
Address (number and street, city, state, and ZIP code)		Telephone number () ()	Fax number () ()							
Signature of person shipping microform records, if different		Printed name and title of person shipping microform records, if different								
		Date signed (month, day, year)								
RECEIPT OF MICROFORM RECORDS (IARA use only)										
The transfer of the microform records is <input type="checkbox"/> Accepted <input type="checkbox"/> Rejected. If rejected, state the reasons:										
Signature of IARA employee authorizing transfer		Printed name of IARA employee								
Signature of Archives employee receiving microform records		Printed name of Archives employee								
		Date signed (month, day, year)								

See Section 4.2 for detailed instructions on transferring records to the Indiana Archives.

County/local government entities should send this form to the IARA's County/Local Records Management section, who will verify that the record series / retention schedule information is correct, then pass the form on to the Indiana Archives for the rest of the transfer process.

State Form 56676 (6-19)
Approved by State Board of Accounts, 2019
Pursuant to IC 5-15-5.1-5(a)(16)

NS: Please complete all applicable fields.

INSTRUCTIONS: Please complete all applicable fields and review to ensure they are completed correctly. Incomplete forms will be returned. Please see the [complete price list](#) on our website.

NOTE: All filming will be completed at the State Imaging and Microfilm laboratory and will meet the requirements of 60 IAC 2-2. Storage of master film in the Indiana Archives and Records Administration vault is provided at no additional cost.

AGENCY INFORMATION										
Name of requestor				Telephone number of requestor ()			Date of request (month, day, year)			
Name of agency				Name of division						
Address of agency (number and street, city, state, and ZIP code)										
Project number		Activity number	Source number	Category number	Subcategory number	Locality number	Business unit	Fund	Department	Program number
Title of record series					Record series number			Number of boxes		
Signature of requestor								Date signed (month, day, year)		

Preservation/Microfilming Services	Cost	Quantity	Total
<input type="checkbox"/> 16 mm – Standard size documents, up to legal size (8.5" x 14"), per image, minimum 1250 images	.03		
<input type="checkbox"/> 35 mm – Books, newspapers, etc. (Anything larger than 14"), per image, minimum 250 images	.06		
<input type="checkbox"/> 16 mm Diazo Negative Copy	11.00		
<input type="checkbox"/> 16 mm Process and Duplicate Only	13.00		
<input type="checkbox"/> 16 mm Silver Duplicate, Negative Only	29.00		
<input type="checkbox"/> 35 mm Diazo Negative Copy	17.00		
<input type="checkbox"/> 35 mm Process and Duplicate Only	19.00		
<input type="checkbox"/> 35 mm Silver Duplicate, Negative or Positive	32.00		
Scanning Services			
<input type="checkbox"/> Standard Size Black and White Document, per image	.025		
<input type="checkbox"/> Standard Size Color Document, per image	.12		
<input type="checkbox"/> Large Format Black and White Document, per image	.26		
<input type="checkbox"/> Large Format Color Document, per image	.52		
Image Conversion			
<input type="checkbox"/> Digital Files to Film (16 mm film)	32.50		
<input type="checkbox"/> Digital Files to Film (35 mm film)	52.50		
<input type="checkbox"/> Microfilm to Digital, 16 mm, per image	.02		
<input type="checkbox"/> Microfilm to Digital, 35 mm (Bi-Tonal), per image	.035		
<input type="checkbox"/> Microfilm to Digital, 35 mm (Gray Scale), per image	.14		
Other Services			
<input type="checkbox"/> Shipping – USPS, UPS	Cost Varies		
<input type="checkbox"/> Prep Work Charge, per Hour	20.00		
<input type="checkbox"/> 16 mm Jacket, per Jacket	10		
<input type="checkbox"/> Jacket Loading, per Roll	25.00		
<input type="checkbox"/> Cartridge, Leader and Trailer	5.40		
<input type="checkbox"/> Optical Character Recognition (OCR) Service, per image	.035		
<input type="checkbox"/> Indexing, per Index Created	10		
<input type="checkbox"/> Compact Disc, Jewel Case, and Label	4.43		

Date started (month, day, year)	Starting roll number	Date completed (month, day, year)	Ending roll number
Signature of Laboratory staff fulfilling request			Date (month, day, year)
Printed name of Laboratory staff		Title of Laboratory staff	



State Form 42775 (RS / 6-15)

INSTRUCTIONS:

1. Type or print legibly.
2. Forward completed form to IARA, Records Management, IGCS W472.
3. Signature must be signed by hand.

ROLL NUMBER	AGENCY NAME	RECORD SERIES NUMBER	DOCUMENT NUMBER

I hereby certify that this roll of microfilm meets the methods and procedures established by the Indiana Archives and Records Administration and is consistent with 60 IAC 2 as promulgated by the Oversight Committee.		
Signature of supervisor	Printed name of supervisor	Date (month, day, year)

☐ Security ☐ Archives ☐ Duplicate ☐ Agency

I hereby certify that this roll of film was inspected and verified frame by frame, according to the methods and procedures established by the Indiana Archives and Records Administration and is consistent with 60 IAC 2 as promulgated by the Oversight Committee. (Negative responses explained below).
This inspection to be performed by agency requesting filming.

Name of agency	
----------------	--

Signature of agency inspector	Printed name of agency inspector	Date (month, day, year)
Signature of agency supervisor	Printed name of agency supervisor	Date (month, day, year)

<p>Signature of supervisor</p>			<p>Printed name of supervisor</p>			<p>Date (month, day, year)</p>		
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APPENDIX D: Notice of Destruction of County/Local Government Records In Accordance With An Approved Retention Schedule (SF 44905)



NOTICE OF DESTRUCTION OF COUNTY/LOCAL GOVERNMENT RECORDS IN ACCORDANCE WITH AN APPROVED RETENTION SCHEDULE

State Form 44905 (R8 / 4-20)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION
County/Local Records Management
402 West Washington Street, Room W472
Indianapolis, Indiana 46204
Telephone: 317 232-3380 | cty@iara.in.gov

To be used only for documenting the destruction of records as scheduled on an approved county/local records retention schedule.

For a) requests to dispose of records **not** listed on a retention schedule, or b) requests to transfer records listed on a retention schedule as **PERMANENT** to a local historical entity (instead of maintaining them in the originating office or transferring them to the Indiana Archives), use State Form 30505, Request for Exception to County/Local Retention Schedule or Permission to Dispose of Unscheduled County/Local Public Records (PR-1).

INSTRUCTIONS:


- Complete **ALL** Contact and Record Series Information fields. **Record Series Number is REQUIRED for all records listed.**
 - If you do not **know** the Record Series Number, contact IARA's County/Local Records Management section for more information.
 - If the records do not **have** a Record Series Number, use State Form 30505 as described above.
- Send one (1) copy to IARA's County/Local Records Management Section at the address listed above. **IARA will respond ONLY if there is a question or problem with the information on the form.**
- Delay destruction for thirty (30) days. **If there is no contact from IARA within that time, the records may be destroyed.**
- Complete the Destruction Information fields.
- Send one (1) copy of the completed form to the secretary of your County Commission of Public Records, and retain one (1) for your records.

CONTACT INFORMATION			
Name of office		Date submitted to IARA (month, day, year)	County
Address (number and street)		City	ZIP code
Name of contact person	Telephone number ()	E-mail address	
RECORD SERIES INFORMATION			
RECORD SERIES TITLE OF RECORDS TO BE DESTROYED	DATE RANGE OF RECORDS (m/yyyy to m/yyyy)	RECORD SERIES NUMBER (REQUIRED)	VOLUME (number of boxes, rolls, etc.)
	to		
	to		
	to		
	to		
	to		
	to		
	to		
	to		
	to		
	to		
	to		
	to		
	to		

DESTRUCTION INFORMATION		
These records were destroyed according to a retention schedule approved for use by the Indiana Oversight Committee on Public Records.		
Signature of official destroying records		Date signed (month, day, year)
Printed name of official destroying records	Position	Date records destroyed (month, day, year)

See Section 4.4 for detailed instructions on using this form.

APPENDIX E: Request for Exception to County/Local Retention Schedule or Permission to Dispose of Nonscheduled County/Local Public Records (PR-1) (SF 30505)



REQUEST FOR EXCEPTION TO COUNTY/LOCAL RETENTION SCHEDULE OR PERMISSION TO DISPOSE OF NON-SCHEDULED COUNTY/LOCAL PUBLIC RECORDS (PR-1)
State Form 30505 (RS / 5-23)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION
County/Local Records Management
402 West Washington Street, Room 18477
Indianapolis, Indiana 46204
Telephone: 317-232-3300
crl@iara.in.gov

INSTRUCTIONS:
Originating Agency: (Please contact IARA at the above address if you have any questions while filling out this form.)
1. *This form is for permission to destroy or transfer the ONLY copy of public records. No permission is required to reformat paper records or to destroy originals after microfilming. As long as one (1) copy of the information is maintained in paper or microfilm format, all other copies may be destroyed at any time.*
2. *Fill out all information on the first page of this form. Contact Indiana Archives or local historical entity to confirm interest prior to initiating a request to transfer.*
3. *File one (1) copy with your County Commission of Public Records, and retain one (1) copy for your own records.*
4. *Upon receipt of an approved copy from your County Commission of Public Records, follow the instructions detailed on the second page of this form and retain a copy for your records. (Your original copy of this request may be destroyed on receipt of this approved version.)*

County Commission of Public Records
Step 1: Upon approval of this request by the County Commission, the Secretary must preserve one (1) copy as part of the minutes of the County Commission, send one (1) copy to the county historical entity or equivalent local historical entity if such exists, send one (1) copy to IARA at the above address, and retain one (1) copy for Step 2.
Step 2: Fill out the section labeled "FINAL NOTIFICATION FOR ORIGINATING AGENCY" and send to the contact person at the originating agency, once:
a. the local historical entity or IARA has requested that records be transferred to them, OR
b. sixty (60) days have passed with no contact from historical entity/IARA, and records may be disposed of subject to any limitations listed on page 2.

TO BE COMPLETED BY THE ORIGINATING AGENCY OR OFFICE:

Name of government agency: _____ Date (month, day, year): _____
Address of government agency (number and street, city, state, and ZIP code): _____
Name of contact person: _____ Telephone number: _____ E-mail address: _____
Type of request (check only one; fill out a separate form for each request type):
☐ Exception: Transfer scheduled records to Indiana Archives in lieu of destruction ☐ Destroy unscheduled records
☐ Exception: Transfer scheduled records to local historical entity in lieu of destruction ☐ Transfer unscheduled records to Indiana Archives
☐ Exception: Transfer unscheduled records to local historical entity in lieu of destruction ☐ Transfer unscheduled records to local historical entity

TO: Secretary Commission of Public Records, of _____ County, Indiana

NAME OR DESCRIPTION OF RECORDS (include Record Series Number if requesting an exception for scheduled records)	VOLUME OF RECORDS (amount of boxes, folders, film rolls, disks, etc.)	DATE SPAN OF RECORDS (month/year to month/year)
		10
		30
		10
		30
		30
		10
		30
		10
		30
		30

Name of Local Historical Entity: If transfer is being requested to such:

Requester by (originating agency representative): _____ Title: _____ Date (month, day, year): _____

Page 1 of 2
(Always include both pages when sending.)

ACTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS (to be completed by Secretary of County Commission)

This request to destroy or otherwise dispose of the public records listed thereon was approved by the County Commission of Public Records at a meeting held this date, subject to the following limitations or exceptions:
(List requests or limitations on the disposal or transfer desired by the County Commission on Public Records.)

Signature of Chairman of County Commission of Public Records _____ Date signed (month, day, year): _____
ATTEST - Signature of Secretary _____ Date signed (month, day, year): _____

CONTACT INFORMATION FOR SECRETARY OF COUNTY COMMISSION OF PUBLIC RECORDS

Name of Secretary: _____ Telephone number: _____ E-mail address: _____
Office Address of Secretary (number and street, city, state, and ZIP code): _____

LOCAL HISTORICAL ENTITY: Fill out and return to Secretary of County Commission within sixty (60) days

Name of Staff Contact: _____ Telephone number: _____ E-mail address: _____
Office Address of Contact (number and street, city, state, and ZIP code): _____

☐ Our entity does not wish to procure any of the records described on this form. (Optional; returning form is obligatory only if you wish to procure records.)
☐ Our entity wishes to procure the records listed below. (Write "All" if you would like to procure all records.)

INDIANA ARCHIVES: Fill out and return to Secretary of County Commission within sixty (60) days

Name of Indiana Archives Contact: _____ Telephone number: _____ E-mail address: _____
Office Address of Indiana Archives Contact (number and street, city, state, and ZIP code): _____

☐ Our entity does not wish to procure any of the records described on this form. (Optional; returning form is obligatory only if you wish to procure records.)
☐ Our entity wishes to procure the records listed below. (Write "All" if you would like to procure all records.)

FINAL NOTIFICATION FOR ORIGINATING AGENCY (Check only one (1) box below. To be sent only after 60 days have passed since approval.)

☐ No written statement has been received from any genealogical or historical entity or the Indiana Archives and Records Administration to procure any of the records listed. These public records may be destroyed or otherwise disposed of by authority of the County Commission of Public Records, subject to any limitations listed at the top of this page.

☐ A written statement as shown above has been received from a genealogical or historical entity or the Indiana Archives and Records Administration, indicating intent to procure the records. Please arrange for transfer of the requested records. For the Indiana Archives, use State Form 48883. For a local historical entity, use that entity's preferred transfer form. All records that were NOT requested may be destroyed or otherwise disposed of by authority of the County Commission of Public Records, subject to any limitations listed at the top of this page.

Signature of Secretary of County Commission on Public Records _____ Date signed (month, day, year): _____

Page 2 of 2
(Always include both pages when sending.)

See Sections 4.5 and 4.6 for detailed instructions on using this form.

APPENDIX F:

Indiana Oversight Committee on Public Records Policy 20-01 Electronic Records Retention and Disposition

Applies to: Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives, they must adhere to this policy.

Purpose: To ensure electronic records are retained in a trustworthy, accessible, and appropriate manner.

Effective Date: 1/15/2020

Authority: Indiana Code 5-15-1-1 (a) and (b), Indiana Code 5-15-5.1-12, and Indiana Code 5-15-5.1-14.

Definitions:

Retention schedule means a Records Retention and Disposition Schedule approved by the Indiana Oversight Committee on Public Records.

Electronic records are stored in digital format on an information technology device and include both born-digital and digitized records.

Born-digital records are created in electronic format.

Digitized records are electronic copies of physical records and can include images and audiovisual information.

Physical records can be read without the aid of an information-technology device and include paper, film, and audio and video tapes.

Policy:

- 1) **General requirements:** Unless separate instructions are specified in the retention schedule, the following requirements apply to all records regardless of format:
 - a) retention period before final disposition.
 - b) confidentiality, access, and disclosure.
 - c) final disposition: destruction or transfer to the Indiana Archives.
 - d) Confidential records must be destroyed according to IC 5-15-5.1-13.
 - e) Critical Records as described by IC 5-15-5.1-1(d) must be microfilmed according to Indiana Administrative Code 60 IAC 2.
- 2) **Indiana Archives transfer:** Electronic records that are required to be transferred to the Indiana Archives according to their retention schedule must be
 - a) created and maintained according to OCPR 20-02.
 - b) transferred regularly on the timetable specified in the relevant record series.
 - c) transferred in consultation with Electronic Records division staff.
- 3) **Agency retention:** Electronic records that are not required to be transferred to the Indiana Archives according to their retention schedule
 - a) must be created and maintained by the agency according to OCPR 20-02 for the specified retention period.
 - b) are exempt from retention schedule requirements to transfer records to the State Records Center.
[Note: The previous line applies only to state government agencies, and is irrelevant to county/local offices.]
- 4) **Destruction of digitized physical records:** Physical records which have been digitized may be destroyed if
 - a) the terms described in Items 1-3 are met.
 - b) the imaged records are verifiable authentic duplicates as described in OCPR 20-02.
 - c) the terms in the Indiana Archives and Records Administration Electronic Records Guidelines are met.
- 5) **Destruction of born-digital records:** Born-digital records and their storage media may be destroyed if the terms in Item 1 are met.
- 6) When its provisions are met, this policy serves as the "written consent of the administration" described in IC 5-15-5.1-14.

APPENDIX G:

Indiana Oversight Committee on Public Records Policy 20-02 Electronic Records Technical Standards

Applies to: Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives they must adhere to this policy.

Purpose: To establish consistent standards for the creation and maintenance of public electronic records.

Effective Date: 1/15/2020

Authority: Indiana Code 5-15-5.1(a)(4).

Definitions:

Retention schedule means a Records Retention and Disposition Schedule approved by the Indiana Oversight Committee on Public Records.

Electronic records are stored in digital format on an information technology device and include both born-digital and digitized records.

Born-digital records are created in electronic format.

Digitized records are electronic copies of physical records and can include images and audiovisual information.

Physical records can be read without the aid of an information-technology device and include paper, film, and audio and video tapes.

Discoverable refers to the findability of electronic records during information requests, including during litigation.

Policy:

- 1) **Born digital records:** Electronic records must remain accessible for the duration of the retention period specified in their retention schedule. Accessible means that all electronic records must be
 - a) readable
 - i) by current, commonly available hardware and software OR
 - ii) converted by the originating agency if the existing software or hardware is no longer current or commonly-available.
 - b) stored appropriately
 - i) in an electronic system accompanied by documentation of release notes, functionality, and backup provisions OR
 - ii) on physical storage media that is descriptively labeled and readable by commonly available hardware and software.
 - c) discoverable
 - i) within a reasonable period of time and without excessive effort;
 - ii) via original metadata and any metadata that is necessary to understand the content and structure of the record.
 - d) properly maintained by the originating agency which includes
 - i) migrating when the current storage medium and/or records management system nears the end of its practical lifespan.
 - ii) avoiding proprietary storage systems, records management systems, or file formats.
 - e) retained in accordance with OCPD 20-01.
- 2) **Digitized records:** Records which are digitized must adhere to Item 1 of this policy as well as
 - a) Indiana Archives and Records Administration Electronic Records Guidelines
 - b) act as authentic duplicates, meaning digital images or data must be verified against original records for completeness and accuracy.
- 3) **Critical records:** Unless alternate arrangements are approved in the retention schedule, Critical Records must be microfilmed according to Indiana Administrative Code 60 IAC 2
 - a) regardless of their initial format
 - b) in addition to any conversion to electronic formatbefore the original hard copies may be destroyed.

APPENDIX H: List of Existing County/Local Records Retention Schedules

All Offices

- County/Local General Retention Schedule (GEN)

County Officers

- Assessing Official (AS)
- County Auditor (AU)
- Non-Judicial County Clerk (CL)
- County Recorder (RE)
- County Treasurer (TR)
- County Coroner (CO)

Cities, Towns & Special Districts

- Cities and Towns (CT)
- Special Districts (SD)
- Assessing Official (AS)
- Township Trustee (TT)
- Zoning, Planning, Development, and Enforcement (LAND)

Other Local Retention Schedules

- Public Libraries (LIB)
- Educational Institutions (EDA/EDS/EDC) (public and charter schools)
- Public-Private Agreement Operators (PPA)
- Public Safety Agencies (PSA) (law enforcement)

CONTACT INFORMATION

ADMINISTRATIVE OFFICES

W472 IGCS
402 West Washington Street
Indianapolis IN 46204

Voice: 317-232-3380

Fax: 317-233-1713

Hours: 8 a.m. to 4:30 p.m.



www.IN.gov/iara

COUNTY/LOCAL RECORDS MANAGEMENT

Voice: 317-232-3380

E-Mail: cty@iara.in.gov

ELECTRONIC RECORDS PROGRAM

Voice: 317-232-4530 or 317-232-3658

E-Mail: erecords@iara.in.gov

INDIANA ARCHIVES

6440 E. 30th Street
Indianapolis IN 46241

Voice: 317-591-5222

Fax: 317-591-5324

E-Mail: archives@iara.in.gov

Hours: 8 a.m. to 4:30 p.m.

IMAGING & MICROFILM LABORATORY

NO55 IGCN
100 North Senate Avenue
Indianapolis IN 46204

Voice: 317-232-3381

Fax: 317-233-0908

7 a.m. to 3:30 p.m.